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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/856,231	10/26/2001	Seishi Kato	GIN-6727CPUS	6624

7590 05/01/2003  
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EXAMINER

SMITH, CAROLYN L

ART UNIT	PAPER NUMBER
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1631

DATE MAILED: 05/01/2003

12

Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/856,231

Applicant(s)

KATO ET AL.

Examiner

Carolyn L. Smith

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 11 March 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☐ Claim(s) 1-6 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☐ Claim(s) 1-6 is/are rejected.
- 7) ☐ Claim(s) 6 is/are objected to.
- 8) ☐ Claim(s) 1-6 are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.  
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

## Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:  
1. ☐ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).  
\* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).  
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 6.
- 4) ☐ Interview Summary (PTO-413) Paper No(s) \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_

### DETAILED ACTION

Applicants' sequence election of SEQ ID NO: 35 in Paper No. 11, filed 3/11/03, is acknowledged. Because applicant did not distinctly and specifically point out the supposed errors in the restriction requirement, the election has been treated as an election without traverse (MPEP § 818.03(a)).

This application contains sequence disclosures that are encompassed by the definitions for nucleotide and/or amino acid sequences set forth in 37 CFR § 1.821 (a)(1) and (a)(2). See for example, Tables 2 through 31 in the specification. However, this application fails to comply with the requirements of 37 CFR § 1.821 through 1.825, because it lacks SEQ ID NOs cited along with each sequence in the specification. Applicants are also reminded that a CD-ROM sequence listing submission may replace the paper and computer readable form sequence listing copies. Applicant(s) are required to submit a new computer readable form sequence listing, a paper copy, or CD-ROM for the specification, statements under 37 CFR § 1.821 (f) and (g), if there is a need to list additional sequences in the sequence listing. Applicant(s) are given the same response time regarding this failure to comply as that set forth to respond to this office action. Failure to respond to this requirement may result in abandonment of the instant application or a notice of a failure to fully respond to this Office Action.

The title of the invention is not descriptive. A new title is required that is clearly indicative of the invention to which the claims are directed. The present title is directed to a polypeptide and a polynucleotide whereas in contrast the elected claims include a protein, a cDNA, an expression vector, and a transformed eukaryotic cell.

Claims herein under examination are 1-6.

### ***Claim Objections***

Claim 6 is objected to under 37 CFR 1.75(c) as being in improper form because a multiple dependent claim cannot require dependence from multiple other claims. This reference to two sets of claims to different features is improper. See MPEP § 608.01(n). Accordingly, the claim 6 has not been further treated on the merits.

### ***Claims Rejected Under 35 U.S.C. § 101***

35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

Claim 1 is rejected under 35 U.S.C. § 101 because the claimed invention is directed to non-statutory subject matter. Claim 1 is directed to a protein which, as written, does not sufficiently distinguish over polypeptides as they exist naturally because the claim does not particularly point out any non-naturally occurring differences between the claimed products and the naturally occurring products. In the absence of the hands of man, naturally occurring products are considered non-statutory subject matter. See *Diamond v. Chakrabarty*, 447 U.S. 303, 206 USPQ 193 (1980).

### **PATENTABLE UTILITY GUIDELINES**

The pending claims have been reviewed in light of the Utility Examination Guidelines and Guidelines for Examination of Patent Applications under 35 U.S.C. 112, first paragraph, "Written Description" Requirement, Federal Register, Vol. 66, No. 4, pages 1092-1111, Friday, January 5, 2001.

The examiner is using the following definitions in evaluating the claims for utility.

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"Specific" - A utility that is *specific* to the subject matter claimed. This contrasts with a *general* utility that would be applicable to the broad class of the invention.

"Substantial" - A utility that defines a "real world" use. Utilities that require or constitute carrying out further research to identify or reasonably confirm a "real world" context of use are not substantial utilities.

"Credible" - Credibility is assessed from the perspective of one of ordinary skill in the art in view of the disclosure and any other evidence of record that is probative of the applicant's assertions. That is, the assertion is an inherently unbelievable undertaking or involves implausible scientific principles.

"Well-established" - a specific, substantial, and credible utility which is well known, immediately apparent, or implied by the specification's disclosure of the properties of a material, alone or taken with the knowledge of one skilled in the art.

Claims 1-5 are rejected under 35 U.S.C. § 101 because the claimed invention lacks patentable utility due to its not being supported by a specific, substantial, and credible utility or, in the alternative, a well-established utility.

The critical limitation of claims 1-5 is the amino acid sequence (SEQ ID NO: 35) of the claimed polypeptide, the DNA encoding the polypeptide as well as an expression vector containing the same. The claimed polypeptide, the DNA encoding the polypeptide as well as an expression vector containing the same are not supported by a specific utility, because the disclosed uses of these compositions are not specific and are generally applicable to the secretory and membrane proteins, such as controlling cell proliferation and/or differentiation (page 117, lines 27-30). The specification states the claimed polypeptide, the DNA encoding the polypeptide as well as an expression vector may be used in pharmaceuticals, antibody preparation, diagnosis, gene therapy, and screening assays (page 1, lines 10-12), as well as nutritional uses, and other uses relating to various biological activities (pages 16-40). The specification summarizes general sequence uses in modern biotechnology (i.e. making

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pharmaceutical compositions and screening assays), but never connects the specifically elected sequence (SEQ ID NO: 35) to any particular or available utility. The above-mentioned list of possible utility for the claimed sequence falls short of a readily available utility. These are non-specific uses that are applicable to many secretory or membrane polypeptides, the DNA encoding the polypeptides as well as expression vectors containing the same, and are not particular or specific to the polypeptide, the DNA encoding the polypeptide as well as an expression vector containing the same being claimed.

Further, the claimed polypeptide, the DNA encoding the polypeptide as well as an expression vector containing the same are not supported by a substantial utility, because no substantial utility has been established for the claimed subject matter. SEQ ID NO: 35 may indeed be the sequence for a secretory or membrane protein; however, further research would be required to confirm a "real world" context of use. For example, a protein could be obtained and could then be used in conducting research to functionally characterize the protein. Identifying and studying the properties of a protein itself or the mechanisms in which the protein is involved, such as the protein of SEQ ID NO: 35 does not define a "real world" context of use. Also, relying on putative functions of proteins does not define a "real world" context of use. Similarly, the other listed utilities and asserted utilities as summarized above or in the instant specification are neither substantial nor specific due to being generic in nature and applicable to many such compounds.

Applicant should explicitly identify a specific, substantial, and credible utility for the claimed invention and establish a probative relation between any evidence of record and the originally disclosed properties of the claimed invention.

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Due to a lack of either an art recognized or alleged well established utility, the instant invention has been rejected due to also lacking the required combination of a specific, substantial, and credible utility. Although it may be credible that the protein of SEQ ID NO: 35 is secreted or exists in the cell membrane and may control cell proliferation and/or differentiation (page 117, lines 27-30), the lack of a specific and substantial utility, as explained above, sufficiently supports this rejection.

It is noted that applicant has identified sequences which are known in the prior art and which has a stated sequence similarity to the claimed sequence. On page 69, line 28 to page 70, line 17 (and Table 12 on page 71), SEQ ID NO: 35 is listed as being similar to the rat liver-specific transport protein (GenBank Accession No. L27651). Absent factual evidence, one skilled in the art would have reason to doubt that sequence similarity alone would reasonably support the assertion that the biological activity of the claimed subject matter would be the same as that of the similar sequence. Furthermore, it is unclear whether the similar sequence identified in the prior art has actually been tested for the biological activity or whether this also is an asserted biological activity based upon sequence similarity to yet a different sequence. Note that it would have been well known in the art that sequence similarity does not reliably correlate to structural similarity and that structural similarity does not reliably result in similar or identical biological activities. For example, it would have been well known that even a single nucleotide or amino acid change or mutation can destroy the function of the biomolecule in many instances, albeit not in all cases. In the absence of factual evidence characterizing the structural and functional components of the biomolecule, the effects of these changes are largely unpredictable as to which ones will have a significant effect and which ones will be silent mutations having no

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effect. Several publications document the unpredictability of the relationship between sequence, structure, and function, although it is acknowledged that certain specific sequences have been found to be conserved in biomolecules having related function following a significant amount of further research. See Lopez et al. (Molecular Biology, 32:881-891, 1999); Attwood (Science, 290:471-473, 2000); Gerhold et al. (BioEssays, 18(12):973-981, 1996); Wells et al. (Journal of Leukocyte Biology, 61(5):545-550, 1997); and Russell et al. (Journal of Molecular Biology, 244:332-350, 1994). However, this level of factual evidence is absent here.

Also, since the claimed invention is not supported by a specific, substantial, and credible utility or a well-established utility for the reasons set forth above (refer to the 35 U.S.C. § 101 rejection), one skilled in the art would not know how to use the claimed invention.

***Claim Rejections – 35 U.S.C. 112, first paragraph***

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

Factors to be considered in determining whether a disclosure would require undue experimentation have been summarized in *Ex parte Forman*, 230 USPQ 546 (BPAI 1986) and reiterated by the Court of Appeals in *In re Wands*, 8 USPQ2d 1400 at 1404 (CAFC 1988). The factors to be considered in determining whether undue experimentation is required include: (1) the quantity of experimentation necessary, (2) the amount or direction presented, (3) the presence or absence of working examples, (4) the nature of the invention, (5) the state of the prior art, (6) the relative skill of those in the art, (7) the predictability or unpredictability of the art, and (8) the



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breadth of the claims. The Board also stated that although the level of the skill in molecular biology is high, the results of experiments in genetic engineering are unpredictable. While all of these factors are considered, a sufficient amount for a *prima facie* case are discussed below.

#### LACK OF ENABLEMENT

Claims 1-5 are rejected under 35 U.S.C. § 112, first paragraph, as containing subject matter which was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the claimed invention.

For a sequence putatively assigned a biological function, even if correct, does not appear to be defined as to what use it is to be applied. The significance of the sequence is unconfirmed, further rendering it indiscernible how someone of skill in the art would use such an entity.

Due to the large quantity of experimentation necessary to determine activity or property of the disclosed claimed polypeptide, the DNA encoding the polypeptide as well as an expression vector containing the same, such that it can be determined how to use the claimed sequences, the lack of direction/guidance presented in the specification regarding the same, the absence of working examples directed to the same, and the breadth of the claims which fail to recite a particular biological activities, the specification fails to teach the skilled artisan how to use the claimed invention.

Without further data or sound scientific reasoning, it appears speculative whether the polypeptide of SEQ ID NO: 35 plays a role in any of the asserted utilities as discussed above in

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the 35 U.S.C. § 101 rejection. Relying on predictions of biomolecule function based on relationships in sequence matches is unpredictable (see second to last paragraph of the 35 U.S.C. § 101 rejection). With this in mind, additional evidence is necessary in order to satisfy the current lack of enablement. Several options exist to overcome this lack of enablement issue, such as supplying additional data or other scientific reasoning that would lead one of ordinary skill in the art to be able to make and/or use the present invention.

#### LACK OF WRITTEN DESCRIPTION

Claims 1-5 are rejected under 35 U.S.C. 112, first paragraph, as containing subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor, at the time of the invention was filed, had possession of the claimed invention.

The specification discloses SEQ ID NO: 35 which corresponds to amino acid sequence of a polypeptide. SEQ ID NO: 35 meets the written description provisions of 35 U.S.C. 112, first paragraph. However, due to the open claim wording of "comprising" (claims 1 and 3) and "according to" (claims 2, 4, and 5), these claims are directed to encompass sequences that do not meet the written description provision of 35 U.S.C. 112, first paragraph. The specification provides insufficient written description to support the genus encompassed by these claims.

Vas-Cath Inc. v. Mahurkar, 19 USPQ2d 1111, makes clear that "applicant must convey with reasonable clarity to those skilled in the art that, as of the filing date sought, he or she was in possession of *the invention*. The invention is, for purposes of the 'written description' inquiry, *whatever is now claimed*." (See page 1117.) The specification does not "clearly allow persons of ordinary skill in the art to recognize that [he or she] invented what is claimed." (See Vas-Cath at page 1116.)

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With the exception of SEQ ID NO: 35, the skilled artisan cannot envision the detailed chemical structure of the encompassed polynucleotides and/or proteins, regardless of the complexity or simplicity of the method of isolation. Adequate written description requires more than a mere statement that it is part of the invention and reference to a potential method for isolating it. The nucleic acid itself is required. See Fiers v. Revel, 25 USPQ2d 1601, 1606 (CAFC 1993) and Amgen Inc. V. Chugai Pharmaceutical Co. Ltd., 18 USPQ2d 1016. In Fiddes v. Baird, 30 USPQ2d 1481, 1483, claims directed to mammalian FGF's were found unpatentable due to lack of written description for the broad class. The specification provided only the bovine sequence.

Finally, University of California v. Eli Lilly and Co., 43 USPQ2d 1398, 1404, 1405 held that:

...To fulfill the written description requirement, a patent specification must describe an invention and do so in sufficient detail that one skilled in the art can clearly conclude that "the inventor invented the claimed invention." Lockwood v. American Airlines, Inc., 107 F.3d 1565, 1572, 41 USPQ2d 1961, 1966 (1997); In re Gosteli, 872 F.2d 1008, 1012, 10 USPQ2d 1614, 1618 (Fed. Cir. 1989) (" [T]he description must clearly allow persons of ordinary skill in the art to recognize that [the inventor] invented what is claimed."). Thus, an applicant complies with the written description requirement "by describing the invention, with all its claimed limitations, not that which makes it obvious," and by using "such descriptive means as words, structures, figures, diagrams, formulas, etc., that set forth the claimed invention." Lockwood, 107 F.3d at 1572, 41 USPQ2d at 1966.

Therefore, only SEQ ID NO: 35, but not the full breadth of the claims, meet the written description provision of 35 USC 112, first paragraph. The species specifically disclosed are not representative of the genus because the genus is highly variant. Applicant is reminded that Vas-Cath makes clear that the written description provision of 35 USC 112 is severable from its enablement provision. (See page 1115.)

### ***Claims Rejected Under 35 U.S.C. § 112, second paragraph***

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

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Claims 1-5 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which the applicant regards as the invention.

Claims 1, 3, and 4 contain embodiments which are beyond the elected invention, particularly "SEQ ID NOS: 1 to 10, 31 to [34]...[36 to] 40, 61 to 70, 91 to 100, and 121 to 130". Correction is suggested by stating only the embodiments (in this case "SEQ ID NO: 35") which are part of the invention. Claims 2 and 5 are also rejected due to their direct or indirect dependence from claims 1, 3, and 4.

Claims 2 (line 1), 4 (line 1), and 5 (line 2) recite the phrase "according to" which is vague and indefinite. The claims do not adequately define to what extent the "according to" must be followed. Clarification of the metes and bounds of the claim via clearer claim wording is requested.

### ***Conclusion***

No claim is allowed.

Papers related to this application may be submitted to Technical Center 1600 by facsimile transmission. Papers should be faxed to Technical Center 1600 via the PTO Fax Center located in Crystal Mall 1. The faxing of such papers must conform with the notices published in the Official Gazette, 1096 OG 30 (November 15, 1988), 1156 OG 61 (November 16, 1993), and 1157 OG 94 (December 28, 1993) (See 37 CFR §1.6(d)). The CM1 Fax Center number is either (703) 308-4242 or (703) 305-3014.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Carolyn Smith, whose telephone number is (703) 308-6043. The examiner can normally be reached Monday through Friday from 8 A.M. to 4:30 P.M.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Michael Woodward, can be reached on (703) 308-4028.

Any inquiry of a general nature or relating to the status of this application should be directed to Legal Instruments Examiner Tina Plunkett whose telephone number is (703) 305-3524 or to the Technical Center receptionist whose telephone number is (703) 308-0196.

April 21, 2003

*John D. Mansel*  
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